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I, KIM MARSHALL, MANAGER PATENT OPERATIONS hereby certify that annexed is a true copy of the Provisional specification in connection with Application No. PP 7702 for a patent by FOOD & PACKAGING CENTRE MANAGEMENT LIMITED filed on 14 December 1998.

WITNESS my hand this
Twelfth day of November 1999

KIM MARSHALL
MANAGER PATENT OPERATIONS



AUSTRALIA
Patents Act 1990

PROVISIONAL SPECIFICATION

PP **filed 14th December 1998**

Invention Title : **Starch Thermoforming process**

Applicant: **Food & Packaging Centre Management Limited**
[A C N 070 675 464]

Inventors: Gregor Christie
Long Yu
Steve Coombs

The invention is described in the following statement:

Starch Thermoforming Process

This invention relates to improvements in manufacturing biodegradable polymeric products particularly starch based polymers.

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Background to the invention

There is an increasing demand for many plastic products used in packaging to be bio degradable. Trays in biscuit and chocolate packages are one example.

Starch films have been proposed as biodegradable alternatives for some time.

10 USA patent 3949145 proposed a starch/polyvinyl alcohol/glycerol composition for use as a biodegradable agricultural mulch sheet.

Difficulties have been encountered in producing starch based polymers particularly by hot melt extrusion. The processing of thermoplastic starches is more complex than for conventional thermoplastics because the processing involves

15 gelatinisation, melting, volume expansion, molecular degradation and other physiochemical changes typical of starches.

The molecular structure of the starch is adversely affected by the shear stresses and temperature conditions needed to plasticise the starch and pass it through the extrusion die. For most products foaming has to be avoided and this generally

20 requires attention because of the water content of the starch. Foaming has been avoided by degassing the melt prior to exiting the die as suggested in USA patents 5314754 and 5316578. The latter patent also avoids adding water to the starch. As explained in USA patent 5569692 by not drying starch and avoiding the addition of water the starch can be processed at temperatures between 120°C and 170 °C

25 because the water bound to the starch does not generate a vapour pressure such as to require high pressures.

Another approach to improving the melt processability of starch is to provide an additive as in USA patent 5362777 which reduces the melting point of the starch.

The additive is selected from dimethyl sulfoxide, a selection of polyols and amino
30 or amide compounds.

In order to produce starch polymers for particular applications they have been blended with a range of other polymers. Biodegradable blown films are disclosed in USA patent 5322866 which blends raw starch, polyvinyl alcohol and talc with glycerol and water. USA patent 5449708 discloses compositions of starch ethylene

acrylic acid and a salt of stearic acid plus a glycerol based lubricant. Flexible and clear transparent sheets are disclosed in USA patent 5374304. These are composed of a high amylose starch and a glycerol plasticizer. The use of starch in conjunction with high amylose or modified starches has also been proposed. USA
5 patents 5314754, and 5316578 both suggest the use of modified starches including hydroxypropyl substituted starches. Hydroxypropylation reportedly increases elongation at break and burst strength and improved resilience in the polymers. Although the efficacy of these special and modified starches is recognised their cost inhibits the commercial acceptability of the products made
10 from them.

It is an object of this invention to provide a process for making starch thermoformed products without foaming or unduly affecting the desirable properties of the products.

15 **Brief Description of the Invention**

To this end the present invention provides a process for forming starch products which includes the steps of

- a) forming a mixture of starch, a modified starch, a water soluble polymer or copolymer containing vinyl alcohol units, a polyol plasticizer and 0.4 to 1.5 %
20 by weight of a C₁₂₋₂₂ fatty acid or salt and up to 5 % of added water
- b) working the mixture and forming a melt within the temperature range of 130°C to 160°C
- c) reducing the temperature and further working the mixture and the extruding the mixture or injecting the mixture into a mould at a temperature of 85°C to 105°C
25 without the need to remove water.

The process as defined allows starch based mixtures to be extruded without foaming. The need to vent the extruder to remove water prior to the mix exiting the extrusion die is not needed. Both rigid sheet and flexible starch based films can be
30 made using this process. The foaming temperature of the mix is raised above the temperature at which the melt is most easily plasticised and extruded.

The upper limit to the content of the modified starch is determined by its cost. This component contributes structural benefits to the resulting material. A preferred component is hydroxypropylated amylose. Other substituents can be hydroxy ethyl

or hydroxybutyl to form hydroxyether substitutions, or anhydrides such as maleic phthalic or octenyl succinic anhydride can be used to produce ester derivatives.

The degree of substitution[the average number of hydroxyl groups in a unit that are substituted] is preferably 0.05 to 2. The preferred starch is a high amylose

maize starch. A preferred component is a hydroxypropylated high amylose starch A939 marketed by Goodman Fielder. A preferred concentration range to meet cost parameters is 12 to 24 %

The other starch component is any commercially available starch. This may be derived from wheat, maize, potato, rice, oat, arrowroot, and pea sources.

Generally the water content is about 10 to 15 %. A preferred concentration range for starch is 50 to 70.6%

The vinyl alcohol containing polymer component of the composition is preferably compatible with starch, water soluble, biodegradable and has a low melting point compatible with the processing temperatures for starch. Polyvinyl alcohol is the preferred polymer but polymers of ethylene-vinyl alcohol, ethylene vinyl acetate or blends with polyvinyl alcohol may be used. A preferred concentration range for sheet material is 7 to 9%.

The preferred plasticiser is glycerol although ethylene glycol and diethylene glycol are also suitable as is sorbitol. Cost and food contact are important issues in choosing the appropriate plasticizer. Higher concentrations of the plasticiser render the resulting material more flexible. A preferred concentration range is 10 to 16%.

The fatty acid or fatty acid salt component is preferably present in concentrations of 0.6 to 1%. Stearic acid is the preferred component. Sodium and potassium salts of stearic acid can also be used. Again cost can be a factor in the choice of this component but Lauric, myristic, palmitic, linoleic and behenic acids are all suitable. It is found that the acid tends to accumulate near to the surface of the composition as it is extruded.

Water is added to the composition when needed and this is more likely when making flexible films.

Detailed description of the invention

Processing conditions depend on the formulations and the desired properties of the product to be produced. The materials need to be heated above 140 °C in the

extruder to fully gelatinise the starches. The die temperature needs to be controlled below 110 °C to avoid foaming.

The preferred method of carrying out this invention involves mixing the starch, modified starch, vinylalcohol polymer lubricant and fatty acid components into a free flowing powder. The premixing can be carried out in any conventional mixer. The powder is then introduced into a screw extruder and subjected to an elevated temperature by the shearing action of the screw and the application of external heat to the barrel. The temperature is raised to a maximum in the range of 130°C to 160 °C. Any liquid components including additional water are introduced during this initial phase. The melt that is formed is then propelled toward the die and in moving forward the temperature is reduced to a value in the range of 85 °C to 105°C.

A typical extrusion for rigid products has the following parameters:

Temperature profile °C : 60, 70, 90, 110, 130, 145, 130, 120, 110

Screw Speed 120 rpm

Die Pressure 1400 psi

Examples 1-14

Biscuit trays were made by extruding a sheet and subsequently thermoforming the tray in a hot press. A twin screw extruder was used with a screw speed of 130rpm. The barrel temperature profile was 95[die], 95[adapter], 95, 95, 95, 95, 100, 130, 140, 150, 140, 110, 90, 60. The process avoided foaming at the die and did not require venting of the barrel to remove moisture.

The formulations and the initial observations of the trays' performance are given in the table 1.

More detailed tests were carried out on sheets made from examples 9 to 14 and these results are shown in tables 2, 3 & 4.

TABLE 1

Example	A939 [hydroxy propylated amylose]	Wheat Starch	PVOH	Glycerol	Stearic Acid	Remarks
1	37.46	37.46	8.1	14.29	0.84	Includes 4.02% talc no foam, fairly flexible, very strong
2	33.51	33.51	7.46	21.05	0.75	Includes 3.72% CaCO ₃ No foam, flexible, weak
3	34.42	34.42	7.66	18.92	0.77	Includes 3.81% CaCO ₃ slight foam, flexible, strong
4	35.38	35.38	7.88	16.67	0.79	Includes 3.92% CaCO ₃ slight foam, flexible, strong
5	37.34	37.34	7.87	16.67	0.78	no foam, flexible, strong
6	38.41	38.41	8.08	14.29	0.81	no foam, flexible, strong
7	39.71	39.71	8.03	11.76	0.79	no foam, flexible, very strong
8	38.03	38.03	7.69	11.27	0.76	Includes 4.23% water no foam, flexible, fairly strong
9	81	0	8	10.2	0.8	
10	65	16	8	10.2	0.8	
11	57	24	8	10.2	0.8	
12	24	57	8	10.2	0.8	
13	16	65	8	10.2	0.8	
14	0	81	8	10.2	0.8	

Table 2 - Youngs Modulus

example	initial	24 hours	1 week
9	942.591	355.992	395.783
10	743.174	611.025	459.516
11	729.490	578.648	567.977
12	905.406	609.926	600.324
13	1079.915	519.888	688.400
14	1155.357	797.400	749.335

Table 3 – Stress at 0.2% yield offset

C	initial	24 hours	1 week
9	9.522	2.189	3.413
10	6.016	4.144	3.078
11	7.313	3.823	4.102
12	7.929	3.814	5.695
13	12.624	5.178	6.263
14	14.175	6.884	6.565

Table 4 - % strain at the breaking point

C	initial	24 hours	1 week
9	56.969	82.532	78.304
10	49.845	43.613	41.588
11	56.550	56.166	37.591
12	19.188	47.033	21.798
13	17.699	40.952	21.165
14	8.552	27.661	16.145

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From the above tests and examples and based on cost considerations the preferred formulation for this biscuit tray application is

A939 [hydroxy propylated amylose]	Wheat Starch	PVOH	Glycerol	Stearic Acid
15	65.2	8	11	0.8

Examples 15 - 22

- 10 The effect of stearic acid content on the composition was tested using a formulation of :

	Wheat starch	36%
	Modified Amylose A939	36%
	Polyvinyl alcohol	8%
	Glycerol	10%
15	Water	10%

The mixture was processed at a feed rate of 1.5 a screw speed of 100 rpm and the temperature profile was 70, 90, 100, 130, 140, 140, 130, 115, 110, 110, 110[die]

Sample	Stearic acid content [%]	Torque [%]	Mass [g/min]	Quality of Sheet [observation]
15	0.0	57	101	Rough surface
16	0.4	51	100	Nice sheet
17	0.8	44	106	Nice sheet
18	1.2	39	114	Nice sheet
19	2	38	106	Sheet with some holes
20	3	38	106	Sheet with holes
21	4	35	101	Sheet with a lot of holes
22	5	34	102	Sheet with a lot of holes

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The results show that torque is decreased with increase in stearic acid content. Output mass peaks at a stearic acid content of 1.2 g. the preferred range of stearic acid is 0.4 to 1.5 %.

From the above description it can be seen that the present invention provides a process of extruding starch polymers that avoids the need to deal with foaming by unnecessarily reducing water content or removing water vapour by vacuum prior to exiting the die.

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CLAIMS

1. a process for forming starch products which includes the steps of
 - a) forming a mixture of starch, a modified starch, a water soluble polymer or copolymer containing vinyl alcohol units, a polyol plasticizer and 0.1 to 1.5 %
5 by weight of a C₁₂₋₂₂ fatty acid or salt and up to 5 % of added water
 - b) working the mixture and forming a melt within the temperature range of 130°C to 160 °C
 - c) reducing the temperature and further working the mixture and the extruding the
10 mixture or injecting the mixture into a mould at a temperature of 85 °C to 105 °C without the need to remove water.
2. A process as claimed in claim 1 wherein the fatty acid is stearic acid.

ABSTRACT

A process is disclosed for forming starch products which includes the steps of

- 5 a) forming a mixture of starch, a modified starch, a water soluble polymer or copolymer containing vinyl alcohol units, a polyol plasticizer, preferably glycerol and 0.1 to 1.5 % by weight of a C₁₂₋₂₂ fatty acid or salt, preferably stearic acid and up to 5 % of added water
- b) working the mixture and forming a melt within the temperature range of 130°C to 160 °C
- 10 c) reducing the temperature and further working the mixture and the extruding the mixture or injecting the mixture into a mould at a temperature of 85 °C to 105 °C without the need to remove water.

The process allows starch based mixtures to be extruded without foaming. The need to vent the extruder to remove water prior to exiting the die is avoided.

